

Department of Rehabilitation Services

Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
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Table of Contents

Functional and Organizational Analysis of the Department of Rehabilitation Services	<u>1-1</u>
Sources of Information	<u>1-1</u>
Agency Organization	<u>1-1</u>
Agency Function and Subfunctions	<u>1-2</u>
Making Policy	<u>1-2</u>
Serving on and Administering Boards and Commissions	<u>1-3</u>
Providing Services	<u>1-3</u>
Acquiring and Administering State and Federal Funds	<u>1-5</u>
Promoting Public Awareness	<u>1-6</u>
Acting as an Advocate for Clients	<u>1-6</u>
Promoting Client Participation	<u>1-6</u>
Coordinating/Developing Partnerships	<u>1-7</u>
Licensing Vendors	<u>1-7</u>
Reporting	<u>1-7</u>
Administering Internal Operations	<u>1-8</u>
Organizational Chart	<u>1-8</u>
Analysis of Record Keeping System and Records Appraisal of the Department of Rehabilitation Services	<u>2-1</u>
Agency Record Keeping System	<u>2-1</u>
Records Appraisal	<u>2-2</u>
Temporary Records	<u>2-2</u>
Permanent Records	<u>2-4</u>
Permanent Records List	<u>2-9</u>
Department of Rehabilitation Services Records Disposition Authority	<u>3-1</u>
Explanation of Records Requirements	<u>3-1</u>
Records Disposition Requirements	<u>3-2</u>
1.0 Making Policy	<u>3-2</u>
2.0 Serving On Boards and Commissions	<u>3-3</u>
3.0 Providing Services	<u>3-3</u>
4.0 Administering State and Federal Funds	<u>3-5</u>
5.0 Promoting Public Awareness	<u>3-5</u>
6.0 Acting as an Advocate for Clients	<u>3-6</u>
7.0 Promoting Client Participation	<u>3-6</u>
8.0 Developing Partnerships	<u>3-6</u>
9.0 Licensing Vendors	<u>3-7</u>
10.0 Reporting	<u>3-7</u>
11.0 Administering Internal Operations - Managing the Agency	<u>3-8</u>
12.0 Administering Internal Operations - Managing Finances	<u>3-10</u>
13.0 Administering Internal Operations - Managing Human Resources	<u>3-11</u>
14.0 Administering Internal Operations - Managing Properties, Facilities and Resources	<u>3-13</u>
Approval of Records Disposition Authority	<u>3-13</u>

Functional and Organizational Analysis of the Department of Rehabilitation Services	<u>1-1</u>
Sources of Information	<u>1-1</u>
Agency Organization	<u>1-1</u>
Agency Function and Subfunctions	<u>1-2</u>
Making Policy	<u>1-2</u>
Serving on and Administering Boards and Commissions	<u>1-3</u>
Providing Services	<u>1-3</u>
Acquiring and Administering State and Federal Funds	<u>1-5</u>
Promoting Public Awareness	<u>1-6</u>
Acting as an Advocate for Clients	<u>1-6</u>
Promoting Client Participation	<u>1-6</u>
Coordinating/Developing Partnerships	<u>1-7</u>
Licensing Vendors	<u>1-7</u>
Reporting	<u>1-7</u>
Administering Internal Operations	<u>1-8</u>
Organizational Chart	<u>1-8</u>
 Analysis of Record Keeping System and Records Appraisal of the Department of Rehabilitation Services	<u>2-1</u>
Agency Record Keeping System	<u>2-1</u>
Records Appraisal	<u>2-2</u>
Temporary Records	<u>2-2</u>
Permanent Records	<u>2-4</u>
Permanent Records List	<u>2-9</u>
 Department of Rehabilitation Services Records Disposition Authority	<u>3-1</u>
Explanation of Records Requirements	<u>3-1</u>
Records Disposition Requirements	<u>3-2</u>
Making Policy	<u>3-2</u>
Serving On Boards and Commissions	<u>3-2</u>
Providing Services	<u>3-3</u>
Administering State and Federal Funds	<u>3-4</u>
Promoting Public Awareness	<u>3-5</u>
Acting as an Advocate for Clients	<u>3-5</u>
Promoting Client Participation	<u>3-5</u>
Developing Partnerships	<u>3-5</u>
Licensing Vendors	<u>3-6</u>
Reporting	<u>3-6</u>
Administering Internal Operations - Managing the Agency	<u>3-7</u>
Administering Internal Operations - Managing Finances	<u>3-8</u>
Administering Internal Operations - Managing Human Resources	<u>3-10</u>
Administering Internal Operations - Managing Properties, Facilities and Resources	<u>3-11</u>
Approval of Records Disposition Authority	<u>3-12</u>

Functional and Organizational Analysis of the Department of Rehabilitation Services

Sources of Information

Representatives of the Department of Rehabilitation Services

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Jerry Norsworthy, Client Assistance Program
Angeline Pinckard, Governor's Committee on Employment of the Handicapped
Joe Helm, Community Rehabilitation Services
Johanna Bise, Commissioner's Office
Dawn Shaloo, Project Rise
Ray Dennis, Business Enterprise Program

Code of Alabama 1975, Sections 21-3-1 through 21-3-8; 21-3A-1 through 21-3A-11; 21-5-1 through 21-5-9; 21-6-1 through 21-6-5; 21-8-1 through 21-8-4; 21-9-1 through 21-9-13; 16-38-1 through 16-38-9; and 16-38A-2

Alabama Administrative Code (AAC), Chapters 795-1-1 through 795-1-11; 470-1-1 through 470-1-3

Alabama Government Manual (1994)

Code of Federal Regulations Chapter 34 (CFR)

Single Audit Act of 1984 (P.L. 98-502)

Department of Rehabilitation Services Annual Reports (1995-1996)

Government Records Division, State Agency Files (1985-ongoing)

Agency Organization

The Department of Rehabilitation Services, hereinafter referred to as the DRS, was formerly the Division of Rehabilitation Services in the State Department of Education. Effective January 1995, the Alabama Legislature created the Department of Rehabilitation Services as a separate entity from the State Department of Education and transferred all division personnel to the

new department. The Legislature at the same time created the Board of Rehabilitation Services, hereinafter referred to as the Board, to determine policies for the provision of rehabilitative services to eligible children and adults with disabilities in Alabama. The Board consists of seven members, one from each Congressional district, appointed by the governor and confirmed by the Senate. Three members must be individuals with a disability; one must be the parent of a child with a disability; and three are selected from business and industry organizations. Board members serve seven-year terms and may serve no more than two full terms. The Board meets at least once quarterly. It appoints a Commissioner for the DRS, who serves as secretary to the Board and manages and administers the DRS “in conformity with the policies adopted by the Board” (Code of Alabama 1975, Sections 21-9-1 through 21-9-11).

The DRS has adopted a programmatic organizational structure with the goal of involving staff in agency decision making (Department of Rehabilitation Services Annual Report, 1996). The basic organization comprises administrative support services and divisions that oversee services to each of the DRS client groups. These service divisions supervise programs which supply direct client services at the local level. The agency encourages client input into its policies and programs through a variety of advisory councils.

Agency Function and Subfunctions

The mandated function of the Department of Rehabilitation Services is to provide rehabilitation services to eligible children and adults with disabilities throughout the state, to provide them with meaningful educational and employment opportunities and to assist them in living as independently as possible, with the goal of “increasing their social and economic well-being and that of their families, and the productive capacity of this state and nation, also thereby reducing the burden of dependency on families and taxpayers” (Code of Alabama 1975, Section 21-9-1). It is the designated administrator on the state level of federal programs for the disabled, including those mandated under the Rehabilitation Act of 1973 as amended; the Social Security Act, Title V; the Randolph-Sheppard Vending Stand Act (P.L. 74-732), as amended by P.L. 83-565 and P.L. 93-515, 20 U.S.C., Chapter 6A, Section 107; and the Individuals with Disabilities Education Act (P.L. 99-457), Part H, 20 U.S.C., Sections 1471 through 1485) . It is one of the state agencies primarily responsible for carrying out the subfunctions in the Health and Social Services subcategory of the Client Services function of Alabama government. It also performs activities in the Public Advocacy function and in the Financial Management subcategory of the Administrative Support Operations function. In performance of its mandated function, the Department of Rehabilitation Services may engage in the following subfunctions.

- **Making Policy.** The Board of Rehabilitation Services makes rules and regulations for the provision of rehabilitation services in the state and directs and supervises the expenditure of legislative appropriations for the Department (Code of Alabama 1975, Section 21-9-9). The Commissioner plans, establishes and operates programs, facilities, and services relating to disability and rehabilitation (Code of Alabama 1975, Section 21-9-11). The “Executive

Leadership Team,” consisting of upper level agency staff members, assists the Commissioner in these processes. Some DRS programs, such as the Early Intervention program and Project RISE, discussed below under the subfunction “Providing Services,” and the State Committee of Blind Vendors have federally mandated state and district councils or committees that contribute to the formation of program policy.

- **Serving on and Administering Boards and Commissions.** The Department of Rehabilitation Services has administrative and record keeping responsibilities for two separate state government entities that augment the services provided by the agency. The Alabama Legislature created the Impaired Drivers Trust Fund (IDTF) in 1992 to provide assistance to individuals who have sustained head and spinal cord injuries caused by an external force. The funds come from fines paid by individuals who have been convicted of driving under the influence. The trust fund’s policy is governed by an Advisory Board that consists of seventeen members who represent health and medical agencies and organizations as well as the Governor, the State Senate, the State House of Representatives, the Department of Insurance, Alabama Medicaid, the Department of Human Resources, the Department of Mental Health and Mental Retardation, and the DRS. The DRS maintains the records of this board and disburses money from the trust fund in accordance with the directives of the Board (Code of Alabama 1975, Section 16-38A-2). Funds from the IDTF implement service components that have been identified as gaps in services to brain- and spinal cord-injured individuals. Such components include service coordination and case management, respite care, housing assistance, recreation, supported employment, transportation, personal assistance, and a help line.

The Governor’s Committee on Employment of People with Disabilities (GCEPD) was created by executive order in 1947 and established by statute in 1965 to promote awareness and sensitivity of disability issues among the general public and to encourage employment opportunities (Code of Alabama 1975, Sections 21-5-1 through 21-5-9). The DRS provides the leadership and administration of this program. It reaches local communities through its nineteen affiliated committees. Approximately 500 members representing various groups and organizations in the communities comprise the membership of these committees. The GCEPD and its local committees plan and organize events in conjunction with National Disability Employment Month and sponsor an annual poster/journalism contest. The GCEPD also cooperates in providing training for state agencies and businesses to ensure compliance with the Americans with Disabilities Act.

- **Providing Services.** The Department of Rehabilitation Services’s mission statement declares its intent to provide a continuum of services from birth to old age for Alabamians with disabilities (Alabama Administrative Code, Chapter 795.1-1-.01). Service programs generally target a particular age group. The DRS provides services directly to its clients through its district offices, or it may contract with other agencies and organizations, both public and private, to deliver services. In some cases, in addition to the services listed below, services to clients may include limited financial assistance for a specific purpose, such as the

purchase of medications or clothing for a job interview, or emergency financial assistance. The major components of the DRS services continuum are:

Early Intervention (EI) Program. The DRS acts as the lead agency in a statewide system that provides early intervention services mandated under Part H of Public Law 99-457, 20 U.S.C. Sections 1471 through 1485 as amended, titled Early Intervention Program for Infants and Toddlers with Disabilities and codified as Part 303 of Title 34 of the Code of Federal Regulations. As the lead agency the DRS is responsible for the general administration, supervision, and monitoring of programs and activities within the system, including coordination of all available financial resources within the state from federal, state, local, and private sources, and other responsibilities as detailed in federal law (Code of Alabama 1975, Section 21-31-7). The EI program serves children from birth to three years of age who are experiencing developmental delay(s) in one or more of the five developmental areas (cognitive, physical, communication, social or emotional, adaptive) or who have a diagnosed physical or mental condition that has a high probability of resulting in developmental delay(s) (AAC, Chapter 795-3-1-.01). The EI program offers evaluation and assessment and the formulation of an Individualized Family Service Plan. This plan is developed by a multi-disciplinary team that includes the child's parents as fully participating members. The Individualized Family Service Plan includes, at a minimum, service coordination (Code of Alabama 1975, Section 21-3A-8). Other services may include nursing services, nutrition services, occupational and physical therapy, counseling, special instruction, speech-language therapy, transportation, and vision services. The DRS coordinates the provision of these services, which may involve a variety of agencies, clinics, day care centers, and special programs.

Children's Rehabilitation Services (CRS). This program provides educational, medical, and rehabilitative services for children with special health care needs up to age twenty-one, including coordination and support for their families through community-based programs (AAC, Chapter 795-4-1-.01). Services include information and referral, clinical evaluation, specialty clinics, patient/family education, and care coordination. A CRS Medical Advisory Committee provides physician input into this program.

Hemophilia Program. This program was created by the Legislature to serve individuals who require continuing treatment with blood, blood derivatives, or manufactured

pharmaceutical products to avoid disabling conditions, hospitalization, or other effects associated with hemophilia (Code of Alabama 1975, Section 21-8-3).

Adult Vocational Rehabilitation Services (VRS). This program provides training and employment-related services for persons who have disabilities that present a substantial barrier to employment and who, as a result of services, have a reasonable expectation of becoming employed. It offers special services for the sensory impaired and provides employment opportunities for those with hearing or visual impairments or both (AAC,

Chapter 795-6-1-.01). Rehabilitation counselors work with employers to train clients for specific jobs and to provide on-the-job training and support. VRS has recently developed a statewide Intranet/Internet job applicant system, the Alabama Employment Management System, that connects rehabilitation counselors across the state and maintains current information on job leads and job-ready applicants. Transition services assist senior high school students with disabilities to prepare for employment and community living. For individuals with severe disabilities, Project Rise, a federal grant project, develops supported employment programs that provides intensive job-site training and support services, including a job coach. Another federal grant project, the Statewide Technology Access and Response (STAR), helps VRS clients in locating, acquiring, and learning how to use various types of technology to improve job performance and assist in day-to-day living. Through this program individuals can arrange short and long-term equipment loans. In the VRS program, direct services are provided by unit offices and Community Rehabilitation Programs and through contracts with service providers.

VRS also works with employers with the goal of securing appropriate employment for its clients and ensuring that the individual is successful in the job. VRS provides a variety of consultant services to businesses, including advising employers on job task analysis and identification, rehabilitation technology, disability sensitivity awareness, accessibility and accommodation, and other specific issues related to the Americans with Disabilities Act.

Homebound Service/Independent Living Service. The Homebound program provides nursing, counseling, patient and family education, and attendant care services for persons with severe disabilities to enable them to achieve maximum independence in their home and environment (AAC, Chapter 795-8-1-.01). The Independent Living program helps people with severe disabilities to participate fully in their community and achieve an independent life-style. Services include peer counseling, information and referral assistance, independent living skills, training, and advocacy (AAC, Chapter 795-9-1-.01).

- **Acquiring and Administering State and Federal Funds.** The Department of Rehabilitation Services receives funds from federal, state, and private sources. More than half of the agency's overall funding comes from the federal government. The Vocational Rehabilitation Service, for example, receives more than 85 per cent of its funding from federal grants. Most federal funding comes from the U.S. Department of Education and the Rehabilitation Services Administration. These agencies dispense allotments to develop and administer federal rehabilitation programs on the state level. Examples of these programs are the Vocational Rehabilitation Service, including Project RISE (a supported employment program), and the Independent Living Service, the Early Intervention Program, the Client Assistance Program, and the Business Enterprise Program. The DRS carries out the provisions of these federal programs by distributing the funds, monitoring compliance with grant requirements, maintaining records, and reporting to the grantor agency.

The DRS provides many of its services through contracts with local entities that are paid from state funds. It works closely with Community Rehabilitation programs, both inpatient and outpatient, in twenty-three facilities around the state. The DRS monitors these programs by regular site visits.

- **Promoting Public Awareness.** Each of the programs offered by the DRS attempts to create public awareness about the programs and services it offers and about the needs of the client population each program serves. Programs target both potential clients and the general public in their publicity efforts. They also create information to inform clients of their rights under the program and of program guidelines and procedures. Methods of dispensing information include brochures and pamphlets, newsletters, billboards, public service announcements, videos, contests, events, awards, speeches, job and technology fairs, seminars, and the agency's web site.
- **Acting as an Advocate for Clients.** Under the federal Rehabilitation Act of 1973 as amended, Section 112, the DRS must provide an advocacy program for its clients and potential clients to assure that any questions about the Vocational Rehabilitation Services (VRS) program are answered and that any problems related to individual rehabilitation plans and services are resolved. The DRS's State of Alabama Client Assistance Program (SACAP) provides assistance in explaining requirements for eligibility for services and availability of services. If clients disagree with a staff decision regarding their rehabilitation program, the SACAP may offer mediation between the client and the rehabilitation counselor. The SACAP may in some instances provide legal assistance for clients who are dissatisfied with the services offered by the DRS.
- **Promoting Client Participation.** The Department of Rehabilitation Services actively seeks the participation of its disabled clients, or in the case of minors, the participation of its clients' families, in the development and delivery of its services to ensure that the interests of the clients are safeguarded in the process. One way that the goal of client participation is accomplished is through the participation of disabled individuals on the Alabama Board of Rehabilitation Services (Code of Alabama 1975, Section 21-9-4). There are also many advisory committees on which DRS clients and/or their families participate. One of these is the State Parent Advisory Committee to the Children's Rehabilitation Services program. The CRS has also employed a parent as the State Parent Coordinator for consumer involvement, established a Parent Resource Center, and designed a model counseling program for parents. The Legislature created the Hemophilia Advisory Committee to consult with the DRS in the administration of the Hemophilia program (Code of Alabama 1975, Section 21-8-4). This committee includes medical specialists, hemophiliacs, and parents of hemophiliacs. The Early Intervention program's Parent Task Force encourages family participation and provides opportunities through family forums to share information and determine service needs.

- **Coordinating/Developing Partnerships.** The concept of partnership is strongly emphasized throughout the continuum of programs offered by the Department of Rehabilitation Services. In the delivery of its services the DRS may act as the lead agency and coordinator of programs. It may also seek to develop partnerships with other agencies, such as the Social Security Administration (SSA) and the Alabama Medicaid Agency, and private entities such as Easter Seals, United Cerebral Palsy, and Shriner's Hospitals, in order to develop and improve services to its clients. Such partnerships may occur in the implementation of grants, in the sponsorship of events and other public awareness initiatives, and in programs to create employment opportunities for DRS clients. The DRS maintains a continuing partnership with the Social Security Administration in working to assist disabled individuals in achieving self sufficiency. When the DRS is successful in returning clients currently receiving SSA disability payments to work, the agency receives reimbursements from the SSA that can be used to provide additional services to the other individuals with disabilities.

An Interagency Coordinating Council (ICC) of not less than 15 members is responsible for implementing the provisions of the federal legislation that mandates the Early Intervention (EI) program discussed under the subfunction "Providing Services." The Governor appoints an executive committee to make policy for this council. It includes the directors of the seven state agencies that are represented on the Council - the DRS, the Department of Human Resources, the Department of Insurance, the Department of Mental Health and Mental Retardation, the Department of Public Health, the Institute for the Deaf and Blind, and the Alabama Medicaid Agency (Code of Alabama 1975, Section 21-3A-4).

- **Licensing Vendors.** The Department of Rehabilitation Services's Business Enterprise Program (BEP) provides merchandise and food service vending employment opportunities for legally blind individuals. The DRS is the designated state licensing agency for purposes of administering the state's vending facility program for blind vendors, whom the agency designates as managers (AAC, Chapter 795-7-1-.01). The licensure process includes a mandatory training course for the vendors provided by the DRS. The DRS develops food and merchandise vending sites on federal, state, county, municipal, and private property. It performs surveys of sites and issues facility permits. It then assigns managers to specific facilities or routes and furnishes equipment, initial business license, initial stock, and petty cash to assist vendors in starting up their businesses. Maintenance and repair of equipment and the managers' leave are paid for out of a "set-aside fund," constituted from a percentage of the managers' net proceeds and administered by the DRS. The agency also offers training on an ongoing basis to the managers. It may revoke managers' licenses for unsatisfactory performance.
- **Reporting.** The DRS publishes an annual report describing the activities of its various rehabilitation programs, as mandated by the Legislature (Code of Alabama 1975, Section 21-9-10). The Impaired Drivers Trust Fund must also provide an annual report that gives its recommendations for meeting the needs of individuals with head and spinal cord injuries

(AAC, Chapter 470-1-3-.03). The State of Alabama Client Assistance Program provides an annual report to the federal Rehabilitation Services Administration. Other programs such as Early Intervention also produce annual data reports.

- **Administering Internal Operations.** A significant portion of the agency's activities include general administrative, financial, and personnel activities geared toward the internal functioning of the agency. These administrative duties are grouped together under the subfunction Administering Internal Operations. Administering Internal Operations includes the following groups of activities:

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communicating, scheduling, meeting, documenting policy and procedures, reporting, litigating, legislating (drafting, lobbying, tracking), publicizing and providing information, managing records, and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

Managing Human Resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees, such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, promoting, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing Properties, Facilities, and Resources: Activities include: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing security for property owned by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Revision Completed: October 2000
Attachments: Organizational Chart

Analysis of Record Keeping System and Records Appraisal of the Department of Rehabilitation Services

Agency Record Keeping System

The Department of Rehabilitation Services creates paper, electronic, and microfilm records. Currently no records are maintained solely in electronic format.

Computer System: The agency's Computer Services Division has developed systems for each of its major programs. The component systems receive their funding from different sources. The Vocational Rehabilitation Service (VRS) program's system runs on the Finance Department Information Services Division's (ISD) IBM mainframe. A Wide Area Network (WAN) connects counselors in the district offices to the system. The system uses RISC-6000 AIX servers. The VRS is in the process of changing from a batch-oriented online mainframe to a client/server system. It has chosen the Service Tracking and Reporting System (STARS), developed specifically for vocational rehabilitation programs. The system allows counselors to track clients through the entire rehabilitation process and provides ready access to case file information and administrative reports.

The Children's Rehabilitation Service program maintains data on RISC-6000 AIX servers. It uses Oracle software for client database applications. The third-party billing process (Medicaid and private insurance) is maintained on the ISD mainframe. Access to all applications is through PCS attached to the network.

The Early Intervention program uses a PC application and FoxPro software. It also connects to the WAN to provide communications with local providers.

In the DRS state office, most of the employees utilize PCS that are connected to a Local Area Network (LAN). The LAN runs off a Unix platform and is linked to the state mainframe and the WAN. The agency's accounting division is connected to the state mainframe for LGFS access.

System backups are done nightly to cartridge and are stored in the Information Services Division of the Finance Department. The Unix servers are also backed up nightly to tape. Some, but not all, of these tapes are stored offsite.

The DRS maintains a large number of databases, and the Division of Computer Services maintains centralized control over them. Data base administrators advise staff and help to set up necessary data bases. Computer Services has developed naming standards and maintains a listing of all data bases.

The agency has an internal e-mail system, but there are currently only a few Internet connections. The e-mail system includes the district offices as well as the state office. The agency has included a basic e-mail policy in its employee handbook. It plans to develop and refine this policy further. A decision has been made to print out e-mail records and maintain them in paper format.

The DRS has created an agency website to facilitate access to information about its programs. The website address is www.rehab.state.al.us.

Paper-Based System: The majority of DRS records are maintained in paper format. Since the DRS is a relatively new agency, it has not previously developed approved records retention guidelines except for a few records series, although it has routinely destroyed paper records that have met their fiscal and legal requirements. Many of the agency's records are subject to federal as well as state retention requirements. One records management issue is the agency's tendency to maintain multiple copies of the same record in different divisions, as well as in district offices. This seems particularly true in the area of contracts and leases. The agency should establish where the record copy resides and make known to staff that duplicate copies should be disposed of when they are no longer needed. The state office of the DRS is planning a move to a new facility and will use this opportunity to further develop records management guidelines.

Microfilm: Some DRS computer client financial data are converted to microfiche on an annual basis. The microfiche is processed by the Department of Industrial Relations and stored on-site in the state office. In the past some Children's Rehabilitation Services case files have been microfilmed, but this is no longer being done. Consideration is currently being given to microfilming additional agency records. In some cases the plan is to film records after their retention period in paper format has expired. It is recommended that no temporary paper records in the agency be microfilmed once the retention period established and approved under the RDA has expired, but that they be disposed of according to the approved retention.

Auditing: Because of the large amount of federal funding the DRS receives, it is subject to auditing beyond that performed on a regular cycle by the Examiners of Public Accounts. DRS programs that receive federal Maternal and Child Health funds through the Alabama Department of Public Health may be audited by the Examiners when the Department of Public Health is audited. The Examiners also perform an annual single audit. Federal agencies that fund various DRS program perform program audits on an irregular basis. The DRS has an internal audit section that performs contract reviews, case file reviews, revolving fund reviews, desk reviews of sub-recipients in the Early Intervention program, and reviews at management request. These desk reviews are performed according to the provisions of the federal Single Audit Act.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Department of Rehabilitation Services: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and disposed of once all their fiscal, legal, and administrative requirements have been met. Some of the temporary records of DRS are discussed below:

- **Client Case Files.** Almost all of the DRS programs listed under the “Providing Services” subfunction create case files that are long-term records. Their retentions are tied to the closure of the case, but they vary according to the specific requirements of the program. The Children’s Rehabilitation Services case files, for example, are maintained 27 years after closure in order for the child to reach age twenty-one with an additional six-year period in which litigation may be initiated. Vocational Rehabilitation Services, on the other hand, satisfies all its requirements for the maintenance of case files in a much shorter time. Case files are normally restricted because of individual privacy requirements, and their volume is often quite large, as they contain detailed information about the services the agency provides to a client. In general, case files do not supply the best and most accessible documentation of service programs. There may be exceptional instances when individuals’ case files are designated as archival records if they become the basis of significant litigation or policy changes for the agency and are the subject of widespread publicity. In these instances, the decision to designate the case file as archival would be made by the Archives in consultation with the agency.

- **Vocational Rehabilitation Service (VRS) Case Closure Cards.** VRS case files are maintained for a relatively short period after the case is closed. The case closure cards are maintained much longer so that if a client returns to the program or other agencies or programs seek information about the client, there is basic data available. The cards contain a brief summary of client identifier information and all services provided to the client in the VRS program. Much of this information is currently maintained on computer, and this tracking record is likely to eventually be created entirely in electronic format.

- **Company Contact Files.** Employment development coordinators work to place VRS clients in private employment positions. These records document contacts the coordinators make with various businesses in their regions about employment of VRS clients. The coordinators make frequent reference to the files, which document the activities of the coordinators and provide information about a company’s needs and its past cooperation with the VRS program.

- **Community Rehabilitation Programs Site Reports.** The Community Rehabilitation Programs division handles contracts with service providers that furnish rehabilitation services to DRS clients. Division staff members make regular visits to these providers to ensure that they are in compliance with state and federal requirements. These reports document their on-site visits.

- **Business Enterprise Program Manager Licensure Files.** These records document the licensure process for blind vendors, known as managers, to provide food vending services in DRS-approved facilities. The files may contain medical records, applications, training documentation, licenses, facility assignments for the managers, and sometimes records of complaints against the managers and actions taken. They need to be maintained long-term to provide evidence of the client’s participation and performance in the BEP program.

- **Business Enterprise Program Facility Files.** These records contain information about the facilities approved by DRS for its vending services program and about the licensees assigned to them. Some of the records, especially those of well-established facilities such as state government buildings, will be maintained very long-term in the office and updated on a regular basis.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Making Policy:

- **Meeting Minutes and Meeting Packet of the Alabama Board of Rehabilitation Services.** The Board of Rehabilitation Services is the primary policy making body for providing services to people with disabilities in Alabama. The minutes of its meetings, along with attached reports provided to the board members, provide the highest level documentation of the Board's mandated activities.
- **Administrative Correspondence of the Commissioner of the Department of Rehabilitation Services.** The Commissioner of the Department of Rehabilitation Services carries out the policies approved by the Board, administers the agency, and is also given authority to develop programs, facilities, and services relating to disability and rehabilitation. These responsibilities are reflected in the Commissioner's administrative correspondence.
- **Meeting Minutes, Agenda, and Bylaws of the Early Intervention State and District Councils.** Federal requirements govern the establishment and duties of these councils, whose minutes provide evidence of policy making and coordination of services. The district council minutes also document local input and activities of the Early Intervention program.
- **Meeting Minutes of the Project RISE State and District Advisory Councils.** Project RISE is a federally-funded program providing supported employment to individuals with severe disabilities. Part of the project's mandate is to create state and district advisory councils. These councils provide guidance on program initiatives within federal guidelines. The minutes of the councils document policy for program and also provide evidence of the DRS's efforts to try innovative approaches to provide training and support for all groups of Alabamians with disabilities.
- **Meeting Minutes of the State Committee of Blind Vendors.** This committee serves in an advisory capacity to the Business Enterprise Program (BEP). It also provides input into the policies and procedures of the program. The minutes provide important evidence of the functioning of the BEP, one of the state's oldest rehabilitation initiatives.
- **Programmatic Policy and Procedures Manuals.** Many of the DRS programs are highly regulated by both federal and state government. The programmatic manuals translate

government guidelines into prescribed employee activities and also include departmental directives for acceptable behavior toward clients. They provide an overview of how the various programs are actually carried out.

Serving on Boards and Commissions:

- **Meeting Minutes of the Impaired Drivers Trust Fund Advisory Board.** This trust fund collects money from the fines of drivers convicted of driving under the influence and applies it to services for individuals with brain and spinal cord injuries. The meeting minutes document how Advisory Board establishes criteria and priorities and makes decisions about how the money from the trust fund will be disbursed.
- **Meeting Minutes of the Governor's Committee on Employment of People with Disabilities (GCEPD) and Its Local Committees.** The GCEPD is the state's principal vehicle to promote public awareness about employing people with disabilities. The meeting minutes provide the best documentation of the policies and activities of the GCEPD. Local minutes document how state policies are executed on the local level.

Providing Services:

- **Meeting Minutes of the Children's Rehabilitation Service Medical Advisory Committee.** This committee provides the advice and input of selected medical personnel into the services offered the Children's Rehabilitation Service. The meeting minutes document this committee and its advisory function.

Additional documentation of this subfunction is provided by the agency annual report and programmatic annual reports and by publicity and informational materials that are directed toward potential clients and describe services offered in the programs.

Acquiring and Administering State and Federal Funds:

Archival documentation of this subfunction may be found in the annual agency and programmatic reports of the DRS and also in the single audit performed annually by the Examiners of Public Accounts and included in the State Comprehensive Annual Report (CAFR).

Promoting Public Awareness:

- **Programmatic Informational/Educational/Publicity Materials.** The DRS publishes a very large number of materials to publicize and explain its programs. The materials are created in a wide variety of formats, including brochures, posters, audiotapes, videotapes, and billboard designs. They provide valuable documentation of DRS programs in a concise, easy-to-understand format.

- **Newsletters.** The DRS creates a newsletter, as do some of its programs. The agency uses its newsletter as a communication method among its large staff and network of service providers as well as for public awareness of disability issues. It is a valuable source of summary documentation of how the agency functions. Programmatic newsletters provide summary documentation of activities and changes in the program.
- **Public Awareness Activities/Events Files.** In addition to published materials, various DRS programs sponsor public awareness events and activities, such as contests, information fairs, and awards. The Governor's Committee on Employment of People with Disabilities is especially active in creating and implementing events and contests, including the Miss Wheelchair Alabama contest and a poster/journalism contest. These records document these events and may contain photographs, publicity materials, newspaper articles, and winning contest entries.

Acting as an Advocate for Clients:

Archival documentation of this subfunction is found in records listed under the Promoting Public Awareness and Reporting subfunctions.

Promoting Client Participation:

- **Meeting Minutes of Client/Family Member Advisory Committees, Councils, and Task Forces.** Many of the DRS service programs solicit the advice and opinions of clients and family members in formulating their policies and procedures. In some cases federally-funded programs are mandated to set up formal structures to obtain input from those served by the program. Such advisory committees are currently active in the Hemophilia program, the Children's Rehabilitation Service, and the Early Intervention program, and others may be created in the future. These committees may exist on both the state and local level. In addition to documenting the decisions of the committee, the minutes provide evidence of the state's attempt to involve clients in the program's decision-making process and of state compliance with federal mandates. Not all of the local committees create minutes; some local committees are quite active, however, and may assist in designing and implementing model programs. Their minutes are therefore a valuable record of some of the services provided by DRS.

Developing Partnerships:

- **Meeting Minutes, Agenda, Proxies, and Bylaws of the Early Intervention Interagency Coordinating Council.** The Interagency Coordinating Council serves as the coordinating body for the Early Intervention program. It includes parents, service providers, and representatives of the DRS and eight other state agencies that share responsibility for Early Intervention. The minutes and supporting documentation provide evidence of state agency cooperation as well as of decision-making for this program.

- **Early Intervention Interagency Coordinating Council Executive Committee Files.** The Executive Committee of the Interagency Coordinating Council consists of the directors of the nine state agencies and two of the family members represented on the Coordinating Council. The Executive Committee has responsibility for overall policymaking for the Early Intervention program. These records include minutes and notices of meeting and the joint budget agreement, which is renewed annually. They document cooperation among state agencies at the highest level and also deal with the most sensitive policy issues brought up before the Council.
- **Meeting Minutes and Annual Financial Plan of the Early Intervention Interagency Coordinating Council Financial Planning Subcommittee.** The Interagency Coordinating Council has a number of subcommittees and task forces that create minutes. Of these only the minutes of the Financial Planning Committee have been designated as archival, along with the annual financial plan that the committee submits for approval to the Coordinating Council. In addition to providing evidence of decision-making in an important area, these records are an example of how the various subcommittees operate.
- **Interagency Agreements.** These records consist of formal agreements between the DRS and other agencies, both public and private, to cooperate in providing services to Alabamians with disabilities. One example is the formal agreement among the agencies involved in the Early Intervention Interagency Coordinating Council, but these records include similar agreements with other agencies. In some cases they may be the only documentation of the “Developing Partnerships” subfunction. The agreements document the responsibilities of each agency or private organization in carrying out the intended service or public awareness initiative and provide evidence of the interconnected, cooperative nature of the provision of services to the disabled in Alabama.

Licensing Vendors:

Archival documentation of this subfunction is found in records listed under the Making Policy, Promoting Public Awareness, and Reporting subfunctions.

Reporting:

- **Annual Reports.** In addition to the agency’s annual report, several programs in the DRS that have federal reporting requirements and the Impaired Drivers Trust Fund Advisory Board create annual reports. The agency report provides an overview of the agency’s programs and activities during the year. The program reports provide summary statistical information about clients served by the DRS and the types of services provided.

Administering Internal Operations:

- **Special Litigation Case Files.** The majority of the legal records created by the legal counsel for the DRS involve routine procedures and litigation, including administrative proceedings hearings, Board of Adjustment hearings, and Equal Employment Opportunity Commission complaints. Occasionally, however, there may be cases that have significant impact on the policies or service-delivery procedures of the DRS. These cases may involve high-profile litigation and may set precedent for the agency or bring about important changes in the way the agency functions. The selection of these case files as archival records should be carried out through consultation between the DRS legal counsel and the Archives.

Revision Completed: October 2000

Permanent Records List
Function: Client Services
Department of Rehabilitation Services

Making Policy:

1. Meeting Minutes and Meeting Packet of the Alabama Board of Rehabilitation Services
2. Administrative Correspondence of the Commissioner of the Department of Rehabilitation Services
3. Meeting Minutes, Agenda, and Bylaws of the Early Intervention State and District Councils
4. Meeting Minutes of the Project RISE State and District Advisory Councils
5. Meeting Minutes of the State Committee of Blind Vendors
6. Programmatic Policy and Procedures Manuals

Serving on and Administering Boards and Commissions:

1. Meeting Minutes of the Impaired Drivers Trust Fund Advisory Board
2. Meeting Minutes of the Governor's Committee on Employment of People with Disabilities (GCEPD) and Its Local Committees

Promoting Public Awareness:

1. Programmatic Informational/Educational/Publicity Materials
2. Newsletters
3. Public Awareness Activities/Events Files

Promoting Client Participation:

1. Meeting Minutes of Client/Family Member Advisory Committees and Task Forces

Coordinating/Developing Partnerships:

1. Meeting Minutes, Agenda, Proxies, and Bylaws of the Early Intervention Interagency Coordinating Council
2. Early Intervention Interagency Coordinating Council Executive Committee Files
3. Meeting Minutes and Annual Financial Plan of the Early Intervention Interagency Coordinating Council Financial Planning Subcommittee
4. Interagency Agreements

Reporting:

1. Annual Reports

Administering Internal Operations:

1. Special Litigation Case Files

Department of Rehabilitation Services Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Department of Rehabilitation Services. The RDA lists records created and maintained by the Department of Rehabilitation Services in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Department of Rehabilitation Services to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under the Code of Alabama 1975, Section 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Department of Rehabilitation Services' records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- The statement "retain for useful life" means that when records are no longer useful to the agency and have met their fiscal, administrative, and/or legal needs, they should be destroyed.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.

- Certain other record-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of in whatever way the agency determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationary, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records which are temporary records created for short-term internal purposes that may include, *but are not limited to*: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about department social activities, such as a note to a group going to lunch.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the department and lists the groups of records created and/or maintained by the commission as a result of activities and transactions performed in carrying out these subfunctions. The department may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

1.0 Making Policy

- 1.01** MEETING MINUTES AND MEETING PACKET OF THE ALABAMA BOARD OF REHABILITATION SERVICES
Disposition: PERMANENT RECORD.
- 1.02** ADMINISTRATIVE CORRESPONDENCE OF THE COMMISSIONER OF THE DEPARTMENT OF REHABILITATION SERVICES
Disposition: PERMANENT RECORD.
- 1.03** MEETING MINUTES OF THE STATE COMMITTEE OF BLIND VENDORS
Disposition: PERMANENT RECORD
- 1.04** Recordings of Meetings of the Alabama Board of Rehabilitation Services and the State Committee of Blind Vendors
Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report.
- 1.04** MEETING MINUTES OF THE PROJECT RISE STATE AND DISTRICT ADVISORY COUNCILS
Disposition: PERMANENT RECORD.

1.05 MEETING MINUTES, AGENDA, AND BYLAWS OF THE EARLY INTERVENTION STATE AND DISTRICT COUNCILS

Disposition: PERMANENT RECORD.

1.06 Recording of Meetings of the Project Rise State and District Advisory Councils and the Early Intervention State and District Councils

Disposition: Temporary Record. Retain for 1 year after the fiscal year in which the records were created.

1.07 PROGRAMMATIC POLICY AND PROCEDURES MANUALS

Disposition: PERMANENT RECORD.

2.0 Serving On Boards and Commissions

2.01 MEETING MINUTES OF THE IMPAIRED DRIVERS TRUST FUND (IDTF) ADVISORY BOARD

Disposition: PERMANENT RECORD.

2.02 MEETING MINUTES OF THE GOVERNOR'S COMMITTEE ON EMPLOYMENT OF PEOPLE WITH DISABILITIES (GCEPD) AND ITS LOCAL COMMITTEES

Disposition: PERMANENT RECORD.

2.03 Recordings of Meetings of the Impaired Drivers Trust Fund (IDTF) Advisory Board and Governor's Committee on Employment of People with Disabilities (GCEPD) and its Local Committees

Disposition: Temporary Record. Retain for 1 year after the end of the fiscal year in which the records were created.

3.0 Providing Services

3.01 Programmatic Training Materials

Disposition: Temporary Record. Retain 5 years after materials are obsolete or superseded.

3.02 Early Intervention Program Records

Disposition: Temporary Record. Retain 5 years.

3.03 Early Intervention Case Files

Disposition: Temporary Record. Retain 10 years after closure.

3.04 Early Intervention Child Find Referral Forms

Disposition: Temporary Record. Retain for 10 years.

3.05 Children's Rehabilitation Services Case Files

Disposition: Temporary Record. Retain 6 years after the individual's 21st birthday.

- 3.06** MEETING MINUTES OF THE CHILDREN'S REHABILITATION SERVICES
MEDICAL ADVISORY COMMITTEE
Disposition: PERMANENT RECORD.
- 3.07** Recordings of Meetings of the Children's Rehabilitation Services Medical Advisory
Committee
Disposition: Temporary Record. Retain for 1 year after the end of the fiscal year in
which the records were created.
- 3.08** Hemophilia Program Case Files
Disposition: Temporary Record. Retain 10 years after case is closed.
- 3.09** Vocational Rehabilitation Service (VRS) Case Files (including Homebound and
Independent Living)
Disposition: Temporary Record. Retain 3 years after case is closed.
- 3.10** Vocational Rehabilitation Services Case Closure Cards
Disposition: Temporary Record. Retain 10 years after case is closed.
- 3.11** Sheltered Employment Case Files
Disposition: Temporary Record. Retain 10 years after Sheltered Employment ends.
- 3.12** Supported Employment Case Files
Disposition: Temporary Record. Retain 3 years after Supported Employment ends.
- 3.13** Vocational Rehabilitation Services In-Eligibility Files
Disposition: Temporary Record. Retain 3 years.
- 3.14** Statewide Technology Access and Response Equipment Loan Records
Disposition: Temporary Record. Retain 5 years after loan is terminated.
- 3.15** Company Contact Files
Disposition: Temporary Record. Retain 10 years.
- 3.16** Annual Company Needs and Satisfaction Surveys
Disposition: Temporary Record. Retain 2 years.
- 3.17** Clinic Appointment Logs
Disposition: Temporary Record. Retain 1 year after the year in which the record was
created.
- 3.18** Clinic Sign-in Sheets
Disposition: Temporary Record. Retain current year plus 3 fiscal years.
- 3.19** Clinic Recommendation Sheets
Disposition: Temporary Record. Retain 3 months after the record was created.
- 3.20** Clinic Administrative Reports
Disposition: Temporary Record. Retain current year plus 3 fiscal years.

4.0 Administering State and Federal Funds

- 4.01** Grant Applications
Disposition: Temporary Record. Retain 5 years after final expenditure report.
- 4.02** Grant Project Programmatic Records
Disposition: Temporary Record. Retain 5 years after the grant is closed out.
- 4.03** Grant Project Financial Records (including monthly financial reports, contracts, leases, and vouchers)
Disposition: Temporary Record. Retain 5 years after the submission of the final financial report.
- 4.04** Grant Progress Reports
Disposition: Temporary Record. Retain 5 years after the grant is closed out.
- 4.05** Grant Statistical Reports
Disposition: Temporary Record. Retain 10 years.
- 4.06** State Plans
Disposition: Temporary Record. Retain 5 years after plan is updated or revised.
- 4.07** Community Rehabilitation Program Site Reports
Disposition: Temporary Record. Retain 7 years.
- 4.08** Vendor Fee Schedules
Disposition: Temporary Record. Retain until obsolete or superseded.
- 4.09** Vendor Files
Disposition: Temporary Record. Retain for 3 years after the end of the fiscal year in which the records were created.
- 4.10** Office of Special Programs (OSEP) Files
Disposition: Temporary Record. Retain 7 years.

5.0 Promoting Public Awareness

- 5.01** PROGRAMMATIC INFORMATIONAL/EDUCATIONAL MATERIALS
Disposition: PERMANENT RECORD.
- 5.02** NEWSLETTERS
Disposition: PERMANENT RECORD.
- 5.03** PUBLIC AWARENESS ACTIVITIES/EVENTS FILES
Disposition: PERMANENT RECORD.

- 5.04** Early Intervention Public Awareness Plan
Disposition: Temporary Record. Retain 5 years.

6.0 Acting as an Advocate for Clients

- 6.01** State of Alabama Client Assistance Program Case Files
Disposition: Temporary Record. Retain 7 years after case is closed.

7.0 Promoting Client Participation

- 7.01** MEETING MINUTES OF CLIENT/FAMILY MEMBER ADVISORY COMMITTEES, COUNCILS, AND TASK FORCES
Disposition: PERMANENT RECORD.
- 7.02** Recordings of Meetings of Client/Family Member Advisory Committees, Councils, and Task Forces
Disposition: Temporary Record. Retain for 1 year after the end of the fiscal year in which the records were created.

8.0 Developing Partnerships

- 8.01** MEETING MINUTES, AGENDA, PROXIES, AND BYLAWS OF THE EARLY INTERVENTION INTERAGENCY COORDINATING COUNCIL
Disposition: PERMANENT RECORD.
- 8.02** Recordings of Meetings of the Early Intervention Interagency Coordinating Council
Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report.
- 8.03** Early Intervention Interagency Coordinating Council Files
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 8.04** EARLY INTERVENTION INTERAGENCY COORDINATING COUNCIL EXECUTIVE COMMITTEE FILES
Disposition: PERMANENT RECORD.
- 8.05** Early Intervention Interagency Coordinating Council Coordinating Committee Files
Disposition: Temporary Record. Retain 7 years.

- 8.06** MEETING MINUTES AND ANNUAL FINANCIAL PLAN OF THE EARLY INTERVENTION INTERAGENCY COORDINATING COUNCIL FINANCIAL PLANNING SUBCOMMITTEE
Disposition: PERMANENT RECORD.
- 8.07** Recordings of Meetings of the Early Intervention Interagency Coordinating Council Financial Planning Subcommittee
Disposition: Temporary Record. Retain for one year after the end of the fiscal year in which the records were created.
- 8.08** Early Intervention Interagency Coordinating Council Subcommittee Files
Disposition: Temporary Record. Retain 7 years.
- 8.09** INTERAGENCY AGREEMENTS
Disposition: PERMANENT RECORD.

9.0 Licensing Vendors

- 9.01** Business Enterprise Program Manager Licensure Files
Disposition: Temporary Record. Retain 10 years after the vendor leaves the program.
- 9.02** Business Enterprise Program Unapproved Site Surveys
Disposition: Temporary Record. Retain 5 years.
- 9.03** Business Enterprise Program Facility Files
Disposition: Temporary Record. Retain 10 years after the facility is terminated from the program.

10.0 Reporting

- 10.01** Early Intervention Program Monthly/Quarterly Data Reports
Disposition: Temporary Record. Retain for 3 years after the end of the fiscal year in which the records were created.
- 10.02** ANNUAL REPORTS
Disposition: PERMANENT RECORD.

11.0 Administering Internal Operations - Managing the Agency

- 11.01** Board Appointment Files (for all legally mandated boards, committees, and advisory groups)
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 11.02** Correspondence
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 11.03** Telephone Contact Logs
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 11.04** Administrative Reference Files
Disposition: Temporary Record. Retain for useful life.
- 11.05** Staff Meeting Minutes
Disposition: Temporary Record. Retain for useful life.
- 11.06** Recordings of Meetings
Disposition: Temporary Record. Retain for 1 year after the end of the fiscal year in which the records were created.
- 11.07** SPECIAL CIVIL LITIGATION CASE FILES
Disposition: PERMANENT RECORD.
- 11.08** Client Complaint Files
Disposition: Temporary Record. Retain 5 years after last action.
- 11.09** Hearing Officer Files
Disposition: Temporary Record. Retain until obsolete or superseded.
- 11.10** Legislative Tracking Files
Disposition: Temporary Record. Retain 5 years.
- 11.11** Administrative Procedures Rules Filings
Disposition: Temporary Record. Retain 5 years after rule becomes obsolete.
- 11.12** Records documenting routine civil litigation, including administrative proceedings hearings, Equal Employment Opportunity Commission complaints and lawsuits, and other non-precedent setting litigation
Disposition: Temporary Record. Retain 10 years after closure.

- 11.13** Records documenting employee disciplinary actions, such as: an appeal to the Personnel Board of formal reprimands, demotions, transfers, or terminations
Disposition: Temporary Record. Retain 3 years following disposition.
- 11.14** Board of Adjustment Case Files
Disposition: Retain for 5 years after the final disposition of the case.
- 11.15** Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 11.16** Copy of RDA
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA is superseded.
- 11.17** System Documentation (Y2K Records, hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions)
Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.
- 11.18** Network Address Database
Disposition: Retain in office.
- 11.19** System Maintenance Contracts
Temporary Record. Retain 6 years after the end of the expiration of the contract.
- 11.20** Work Order Requests
Disposition: Temporary Record. Retain 3 years after the fiscal year in which the records were created.
- 11.21** Purchase and Repair Order Documents
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property is sold or replaced.
- 11.22** Records documenting departmental information systems planning
Disposition: Temporary Record. Retain for useful life.

12.0 Administering Internal Operations - Managing Finances

- 12.01** Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 12.02** Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 12.03** Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury. [including daily entry of fees for licensing, registration opinions, copies, fines and investigations]
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 12.04** Records documenting revolving funds held in local offices
Disposition: Temporary Record. Retain 5 years after final expenditure report.
- 12.05** Records documenting the Blind Employees Program (BEP) program asset funds and vending sharing funds
Disposition: Temporary Record. Retain until the completion of the federal compliance review and release of the report.
- 12.06** Periodic Financial Management Statements and Reports
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 12.07** Records documenting the application for, award of, receipt of, disbursement of and reporting of expenditure of federal funds received through grants
Disposition: Temporary Record. Retain 6 years after submission of the final expenditure report.
- 12.08** Records documenting the purchase of nonexpendable property/equipment with federal funds
Disposition: Temporary Record. Retain 3 years after final disposition of property.

- 12.09** Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created. **Exception:** Records of federally funded travel should be maintained 5 years after the close of grant activity.
- 12.10** Agency Audit Reports (audit conducted by the Examiners of Public Accounts)
Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.
- 12.11** Records documenting desk reviews of sub-recipients and other internal audits and reviews
Disposition: Temporary Record. Retain 3 years after the release of the report of the audit performed by the Examiners of Public Accounts.
- 12.12** Contractual records established for the purpose of services or personal property
Disposition: Temporary Record. Retain 6 years after expiration of the contract.
- 12.13** Records documenting the bid process, including requests for proposals and unsuccessful responses
Disposition: Retain in office (Code of Alabama 1975, Sections 41-16-20 to 41-16-24).

13.0 Administering Internal Operations - Managing Human Resources

- 13.01** Job Recruitment Materials
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 13.02** Position Classification Records
Disposition: Temporary Record. Retain 4 years after reclassification of the position.
- 13.03** Records documenting payroll (e.g. pre-payroll reports, payroll check registers)
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 13.04** Records documenting payroll deductions for tax purposes (including Form 941)
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 13.05** Records documenting employee hours worked, leave earned, and leave taken
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

- 13.06** Records documenting employees' daily and weekly work schedules
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 13.07** Records documenting leave donations
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 13.08** Records of final leave status
Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.
- 13.09** Records documenting an employee's work history - generally maintained as a case file
Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.
- 13.10** Section/Division Personnel Files
Disposition: Temporary Record. Retain until separation of an employee from the agency.
- 13.11** Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.
- 13.12** Records Documenting the administration of the unemployment compensation program.
Disposition: Temporary Record. Retain 5 years after creation.
- 13.13** Immigration Reform and Control Act Records
Disposition: Temporary Record. Retain 3 years from date employee is hired or 1 year after termination of employment, whichever is later.
- 13.14** Records documenting workshops and training sessions for employees, including distributed materials
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 13.15** Continuing Education Program Review and Approval Files
Disposition: Temporary Record. Retain 6 years.

14.0 Administering Internal Operations - Managing Properties, Facilities and Resources

- 14.01** Semiannual Inventory Lists
Disposition: Retain in office. (Code of Alabama 1975, Section 36-16-8[1])
- 14.02** Transfer of State Property Forms (SD-1 Agency Copy)
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 14.03** Property Inventory Affidavits
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 14.04** Receipts of Responsibility for Property
Disposition: Temporary Record. Retain until return of item to property manager.
- 14.05** Records documenting the lease or rental of office, warehouse or storage space for the department
Disposition: Retain 6 years after expiration of the lease.
- 14.06** Housekeeping Records
Disposition: Temporary Record. Retain 3 years.
- 14.07** Records documenting telephone systems
Disposition: Temporary Record. Retain 3 years.
- 14.08** Emergency Contact Listings
Disposition: Temporary Record. Retain current listing.
- 14.09** Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle was removed from the property inventory.

Approval of Records Disposition Authority

By signing this agreement the Department of Rehabilitation Services acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below.

- The Department of Rehabilitation Services will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the commission,

coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in July of each year, and ensuring the regular implementation of the commission's approved RDA.

- Permanent records in the Department of Rehabilitation Services' custody will be maintained under proper intellectual control, and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis-for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The department should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the department chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Department of Rehabilitation Services agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the department and to inspect records destruction documentation. Government Records Division archivists are available to train the department staff in RDA implementation and otherwise assist the department in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Steve Shivers, Commissioner
Department of Rehabilitation Services

By: _____ Date: _____
Edwin C. Bridges, Chairman
State Records Commission